



Attorney Docket No. 101141-21

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT : Lia Raquel CHAN, et. al.  
SERIAL NO. : 10/520,033  
FILED : 5/2/2003  
FOR : Transcription Factor Gene Induced by Water Deficit Conditions and  
Absciscic Acid from Helianthus Annuus, Promoter and Transgenic  
Plants  
ART UNIT : NYA  
EXAMINER : NYA  
CUSTOMER NO. : 21001

March 22, 2007

Mail Stop Sequence  
Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**CERTIFICATE OF MAILING**

“Express Mail” mailing label number EV 921048255 US  
Date of Deposit: March 22, 2007

I hereby certify that the following items:

1. Statement Regarding the Sequence Listing
2. CRF of Sequence Listing
3. Paper Copy of Sequence Listing
4. Copy of Notification of Defective Response
5. Express Mail Certificate
6. Return Receipt Postcard

are being deposited with the United States Postal Service via Express Mail on the date indicated above and is addressed to Mail Stop Sequence, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

NORRIS, McLAUGHLIN & MARCUS, P.A.

By Agata Gliniska  
Agata Gliniska



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO. 10/520,033	FIRST NAMED APPLICANT Lia Raquel Chan	ATTY. DOCKET NO. 101141-21 <i>BSL/SIM</i>
---	--	--

27387  
 NORRIS, MCLAUGHLIN & MARCUS, P.A.  
 875 THIRD AVE  
 18TH FLOOR  
 NEW YORK, NY 10022



INTERNATIONAL APPLICATION NO. PCT/US03/13770	
I.A. FILING DATE 05/02/2003	PRIORITY DATE

CONFIRMATION NO. 2792  
 371 FORMALITIES LETTER



\*OC000000019683470\*

Date Mailed: 07/20/2006

## NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495)

- Indication of Small Entity Status
- Copy of the International Application filed on 12/30/2004
- Biochemical Sequence Diskette filed on 09/01/2005
- Oath or Declaration filed on 12/30/2004
- Biochemical Sequence Listing filed on 09/01/2005
- Request for Immediate Examination filed on 12/30/2004
- U.S. Basic National Fees filed on 12/30/2004

Applicant's response filed 09/01/2005 is hereby acknowledged. The following requirements set forth in the NOTIFICATION of MISSING REQUIREMENTS mailed 07/05/2005 have not been completed.

- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 CFR 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).

Additionally the following defects have been observed:

- The International Search Report has not be supplied, the Search Fee has been adjusted to reflect this omission.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (571) 272-0951
- For Patent Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.
- Send e-mail correspondence for Patent Software Program Help @ [ebc@uspto.gov](mailto:ebc@uspto.gov)

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAREN M WILLIAMS

Telephone: (703) 308-9140 EXT 213

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/520,033	PCT/US03/13770	101141-21